



CHANGE NOTICE

CN No.: 2.3-0-2

Affected Document: QP 2.3, Management Assessment Rev. 0

Prepared by: R. J. Oberle

Approved by: N/A

(Technical Area Leader)

(Date)

Approved by: David W. Stout 8/21/89

(YMP QA Manager)

(Date)

Training Required:

Yes No

Approved by: Richard J. Ford 8/24/89

(YMP Project Leader)

(Date)

Currently Read as Follows:

Section 2.3.4 as published.

Changed to Read:

Add the following new paragraph after item e. of the eighth paragraph of Section 2.3.4.

Input is solicited from management of other organizations participating in the LLNL-YMP QA Program concerning the status and adequacy of that part of the program that they are executing.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



CHANGE NOTICE

CN No. 2.3-0-1Affected Document: QP 2.3, "Management Assessment"Revision: 0Prepared By Ronald SchwartzApproved By N/A

Technical Area Leader

Date

Approved By R. M. E. Schatz 3/5/89

YMP QA Manager

Date

Approved By J. Mallow 3/15/89

YMP Project Leader

Date

Currently Reads as Follows:

1. Section 2.3.5, second paragraph, first bullet:
 - o The YMP Leader's memo designating the management assessment team...

Changed to Read:

1. Section 2.3.5, second paragraph, first bullet:
 - o The Energy Program Leader's memo designating the management assessment team members and approving the assessment scope.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

NUCLEAR WASTE MANAGEMENT PROGRAM
CONTROLLED COPY NO. 0100

Subject:

MANAGEMENT ASSESSMENTS

Approved:

Approved by: *[Signature]* 2/11/89
YMP Project Leader

Approved by: *[Signature]* 11/31/89
YMP Quality Assurance
Manager

2.3.1 PURPOSE

This procedure establishes controls for the conduct of management assessments of the Yucca Mountain Project (YMP) Quality Assurance Program.

2.3.2 SCOPE

Management Assessments are conducted at least once a year to evaluate the performance of the LLNL YMP in the following three areas:

- o training with respect to QA requirements.
- o effectiveness of the QA Program.
- o adequacy of resources provided for the QA Program.

2.3.3 RESPONSIBILITIES

The Energy Program Leader is responsible for assuring that management assessments of the YMP QA program are conducted at least annually in compliance with the controls specified in this procedure.

At his discretion the Energy Program Leader may designate the responsible Project Leader, another individual or a team to conduct the management assessment. When assessments are delegated, the Energy Program Leader retains responsibility for final approval of the assessment and assuring the controls of this procedure are met.

The YMP QA Manager is responsible for monitoring the implementation of this procedure and for assuring the continued effectiveness of the applicable controls, and for follow-up to close action items assigned as a result of assessments.

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2.3.4 PROCEDURES

The Energy Program Leader either conducts the management assessment himself, or assigns a responsible individual to conduct the management assessment. The Energy Program Leader may, at his discretion, assemble a team to conduct the assessment.

The overall QA Program effectiveness will be assessed based upon reviews of audit reports, nonconformance reports, surveillance reports, QA reports, project reports, and interviews. Participation in and scope of assessments will be approved by the Energy Program Leader.

The Energy Program Leader's decision regarding which individual or individuals will conduct the management assessment is documented and maintained as a QA Record.

Each management assessment is designated by a unique three-digit hyphenated number (XX-Y). The first two digits designate the fiscal year in which the management assessment is conducted. The third digit indicates the number of the management assessment within that year.

Assessment areas selected for review will be identified on Management Assessment Worksheets (Exhibit A) to document the assessment and results. As appropriate, multiple worksheets are prepared for individual assessment areas.

The assessment team is responsible for evaluating the following:

- a. Status of training with respect to QA requirements.
- b. Assessment of the effectiveness of the QA program.
- c. Adequacy of resources provided to the QA program.

Exhibit B is a representative scope for which Management Assessment Worksheets would be prepared.

In performing this assessment the management assessment team utilizes, as appropriate, the following methods:

- a. Review of QA status reports.
- b. Interviews with management and staff personnel.
- c. Review of audit, surveillance, corrective action, nonconformance, and project review reports and supporting documentation.
- d. Evaluation of training documentation.
- e. Review of budget and other statistical information regarding resource use and availability.

The results of the assessment activities are documented in a report. The assessment report includes the following information:

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- a. Identification of the management assessment individual(s).
- b. A description of the assessment activities.
- c. The scope of the management assessment.
- d. Identification of personnel interviewed during the assessment.
- e. Management Assessment Worksheets.
- f. A summary of the results of the assessment.
- g. A description of any adverse conditions identified during the management assessment.

The assessment report is signed by each individual who participated in performing the assessment. Minority or dissenting comments are appended to the management assessment report.

The Energy Program Leader is responsible for reviewing and approving the management assessment report. Approval is indicated by the Energy Program Leader's signature on the cover page of the report.

The Quality Assurance Manager will track assigned action items from management assessment reports to closure, and will provide memo(s) to the Energy Program Leader and file upon closure.

Copies of the management assessment report are distributed to the DOE Project Office Director, the DOE Project Office Quality Manager, the responsible Project Leader, QA Manager, and the Technical Area Leaders.

2.3.5 RETAINED DOCUMENTATION

Quality assurance records created by the implementation of this procedure are collected, handled, stored, and maintained in accordance with procedure 033-YMP-QP 17.0, "Quality Assurance Records."

Quality assurance records include the following:

- o The YMP Leader's memo designating the management assessment team members and approving the assessment scope.
- o The management assessment worksheets.
- o The management assessment report.
- o The closure memo(s).

The designated assessment leader transmits the first three documents to Records Management. The YMP QA Manager or this designee submits action/closure memo's to Records Management.

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MANAGEMENT ASSESSMENT WORKSHEET		
ASSESSMENT AREA:		
SOURCE OF INFORMATION: Interviews - Reports -		
ASSESSMENT CRITERIA:		
OBSERVATIONS:		
RECOMMENDATIONS:		

SAMPLE

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MANAGEMENT ASSESSMENT AREAS
(SCOPE)

- o QA PROGRAM TRAINING
- o QA PROGRAM RESOURCES AND BUDGET
- o QA PROGRAM EFFECTIVENESS
 - Nonconformance Corrective Actions
 - Procedural Compliance
 - Internal QA Audit Results/Actions
 - External QA Audit Results/Actions
 - Quality of Deliverables (based upon external tech reviews)
 - QA Program Changes/Schedules
 - Work Schedules and In Process QA Scheduling
 - Organizational Knowledge/Perspective of QA Requirements
 - Surveillance Results/Actions

EXHIBIT